



# 11

PATENT  
U.S. Application Serial No. 09/993,966  
Attorney Docket No. PP-16337.004

I hereby certify that this paper is being deposited in the United States Postal Service as first class mail in an envelope addressed: Assistant Commissioner of Patents, Washington, D.C. 20231-0001, Box: Missing Parts on November 12, 2002.

Nancy L. Swanson  
Nancy L. Swanson

11/12/02  
Date

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

MICHAEL ROHAN et al.

Confirmation Number: 8065

Serial No.: 09/993,966

Group Art: 1623

Filed: November 27, 2001

Examiner: Unassigned

For: HUMAN AND NON-HUMAN PRIMATE HOMOLOGUES OF  
NKD PROTEIN, NUCLEIC ACID SEQUENCES ENCODING,  
AND USES THEREOF

**CERTIFICATE UNDER 37 C.F.R. § 3.73(b)**

CHIRON CORPORATION

(Name of Assignee)

a

Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The patent application identified above claims benefit of U.S. Provisional Application No. 60/170,855, filed February 21, 2001, wherein an Assignment was recorded in the Patent and Trademark Office on April 1, 2002 at Reel 012772, Frame 0822, for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

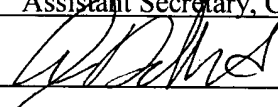
**[NOTE:** A separate copy (*i.e.*, the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: \_\_\_\_\_ November 12, 2002

Name: \_\_\_\_\_ Anne S. Dollard

Title: \_\_\_\_\_ Assistant Secretary, CHIRON CORPORATION

Signature: \_\_\_\_\_ 

Form PTO-1595  
(Rev. 03/01)  
OMB No. 0651-0027 (exp. 5/31/2002)

RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Atty Docket No.: PP-16337.004

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

ROHAN, Michael  
CHAN, Vivien W.  
YAN, Dong

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Chiron Corporation

Internal Address: \_\_\_\_\_

Street Address: 4560 Horton Street

City: Emeryville State: CA Zip: 94608-2916

☐ Other

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other \_\_\_\_\_

Execution Date: 07/18/02, 07/29/02 and 07/18/02

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

09/993,966, filed November 27, 2001

B. Patent Registration No.(s)

Additional number(s) attached ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: CHIRON CORPORATION

Internal Address:

Street Address: 4560 Horton Street

City: Emeryville State: CA Zip: 94608-2916

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41)..... \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number:

03-1664

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

KIMBERLIN L. MORLEY  
Name of Person Signing

Kimberlin L. Morley  
Signature

8/16/02  
Date

Total number of pages including cover sheet, attachments, and document: 5

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patent & Trademarks, Box Assignments  
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231,

on this 26<sup>th</sup> day of August, 2002.

By Manu S. Sridhar

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ASSIGNMENT BRANCH



Receipt #10  
S11/26

PATENT  
U.S. Patent Application No. 09/993,966  
Atty. Docket No. PP-16337.004

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Nancy L. Swanson  
Nancy L. Swanson

11/12/02  
Date

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:  
MICHAEL ROHAN et al.

Confirmation No.: 8065

Serial No.: 09/993,966

Group: 1646

Filed: November 27, 2001

Examiner: Unassigned

Title: HUMAN AND NON-HUMAN PRIMATE HOMOLOGUES OF NKD PROTEIN,  
NUCLEIC ACID SEQUENCES ENCODING, AND USES THEREOF

**REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Attn: Office of Initial Patent Examination's  
Customer Service Center

Sir:

Attached is a copy of the official Filing Receipt received from the Patent and Trademark Office in the above-identified patent application for which issuance of a corrected filing receipt is respectfully requested.

In the "Mailing Address" section (**see Exhibit A**), please correct the mailing address to:

CHIRON CORPORATION  
Intellectual Property  
P.O. Box 8097  
Emeryville, CA 94662-8097

In the "Applicant(s)" section (**see Exhibit A**), please refer to the signed Declaration (**see Exhibit B**) and correct the applicants listed to:

Michael Rohan, San Francisco, California USA  
Vivien W. Chan, San Francisco, California USA  
Dong Yan, Lafayette, California USA

The Assistant Commissioner is hereby authorized to charge any fees associated with this communication and which may be required under 37 CFR 1.16 and 1.17 to Deposit Account No. 03-1664. This, however, is not authorization to pay the issue fee.

Respectfully submitted,

By:



Anne S. Dollard  
Attorney for Applicants  
Reg. No. 43,935

Date: November 12, 2002

CHIRON CORPORATION  
Intellectual Property-R440  
4560 Horton Street  
Emeryville, CA 94608-2916

EXHIBIT A



## UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 2023  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/983,966	11/27/2001	1646	2072	P 0280733 16337 003	21	38	15

Mailing Address should be:

 00909  
 PILLSBURY WINTHROP, LLP  
 P.O. BOX 10500  
 MCLEAN, VA 22102

 CHIRON CORPORATION  
 Intellectual Property  
 P.O. Box 8097  
 Emeryville, CA 94662-8097

CONFIRMATION NO. 8065

## FILING RECEIPT



\*OC000000007724501\*

Date Mailed 03/27/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) should be (see signed Declaration)

## Applicant(s)

Michael Rohan, Residence Not Provided,

 Michael Rohan, San Francisco, California USA  
 Vivien W. Chan, San Francisco, California USA  
 Dong Yan, Lafayette, California USA

## Assignment For Published Patent Application

Chiron Corporation, Emeryville, CA:

## Domestic Priority data as claimed by applicant

 THIS APPLN CLAIMS BENEFIT OF 60/252,884 11/27/2000  
 AND CLAIMS BENEFIT OF 60/291,109 05/16/2001  
 AND CLAIMS BENEFIT OF 60/325,571 10/01/2001

## Foreign Applications

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

 Human and non-human primate homologues of Nrd protein nucleic acid sequences encoding  
 and uses thereof



COPY

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Serial No.: 09/993,966

Applicant: Chiron Corporation

Filed:

Atty's Docket: PP-16337.004

:  
)  
:  
) Batch No.:  
:  
) Examiner:  
:  
) Group Art Unit:  
:  
)

\*\*\*\*\*

SUBMISSION OF FORMAL DRAWINGSHonorable Commissioner of  
Patents and Trademarks  
Washington, D.C. 20231

RECEIVED

NOV 12 2002

Office of Patent Publication  
Director's Office

Dear Sir:

Please find attached, herewith, formal bristol board drawings which are to be entered into the above application for those corresponding sheets presently on file. Changes, as required, are incorporated in these new drawings.

Respectfully submitted,

Anne S. Dollard  
Chiron CorporationIntellectual Property  
4560 Horton Street  
Emeryville, CA 94608-2916Date: November 12, 2002